OIPE 10 2003 5

#6 1215. E 2633

TRAN	ISMETTAL OF	TOTAL OF THE PROPERTY OF THE P	OSURE STATEMENT (c)) DEC 1	2222-US		
In Re A	pplication Of: Ma	ntt PEARSON, et al:	TC 260	200		
	Serial No. Filing Date Examiner Group Art					
09/	986,479	8 November 2001		2633		
Title:	OPTICAL PERF	FORMANCE MONITOR	R	ECEIVED		
	•			DEC 1 1 2003		
		Assistant Comm	dress to: nissioner for Patents on, D.C. 20231	nnology Center 2000		
		37 CF	R 1.97 (b)			
1. 🗷						
		37 CF	R 1.97 (c)			
2. 🔲	The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:					
	1. a Final Action under 37 CFR 1.113, or					
	2.	a Notice of Allowance under 3	7 CFR 1.311,			
	whiche	ever occurs first.				
	Also submitted	herewith is:				
	a certifica	ation as specified in 37 CFR 1.9	7(e);			
		OR				
		set forth in 37 CFR 1.17(p) for CFR 1.97(c).	submission of an Information	on Disclosure Statement		
				, •		

TRANSMITTAL OF	INFORMATION DISCLO	DSURE STATEMENT	Docket No.
(0	Inder 37 CFR 1.97(b) or 1.97	(c))	12222-US
In Re Application Of: Ma	tt PEARSON, et al.		
Serial No.	Filing Date	Examiner	Group Art Unit
09/986,479	8 November 2001	- '	2633
Title: OPTICAL PERF	ORMANCE MONITOR	RI	ECEIVED
		í	DEC 1 1 2003
☐ A check in the am	(Only complete if Applicant elects to nount of is atta	o pay the fee set forth in 37 CFR 1.17(p))	
as described belo Charge the Credit any	mmissioner is hereby authorized w. A duplicate copy of this sheet e amount of overpayment. by additional fee required.	to charge and credit Deposit Acc t is enclosed.	ount No.
Certificate of	f Transmission by Facsimile*	Certificate of Mailing	by First Class Mail
deposit account is bei	cument and authorization to charge ing facsimile transmitted to the United demark Office (Fax. No.	I certify that this document a on with th first class mail under 37 C.F.R. Assistant Commissioner for Pa 20231.	e U.S. Postal Service as 1.8 and addressed to the
	Signature	Signature of Person Maili	ng Correspondence
Typed pr Printed !	Name of Person Signing Certificate	Typed or Printed Name of Person	Mailing Correspondence
deposit account	ay only be used if paying by If the state of the state o	Dated: 8 December 20	03
Richard J. Mitchel	11	•	
34,519			_
Marks & Clerk Can P.O. Box 957 Station B Ottawa, ON, K1P 5 Phone: (613) 236-9	S7	3 *	-

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Substitute for form 1449A/PTO

Complete if Known

Application Number 09/986,479

Filing Date 8 November 2001

First Named Inventor Matt PEARSON

Art Unit 2633

Examiner Name

(Use as many sheets as necessary)

Sheet 1 of 2 Attorney Docket Number 12222-US

U. S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant	
	140.	Number-Kind Code ^{2 (# known)}	IVIIVI-DD-1111	Applicant of Oiled Document	· Figures Appear	
		^{US-} 4,430,572	02-07-1984	Eve et al.		
		US-				
		U\$-				
		US-			RECEIVED	
		US-				
		US-			DEC 1 1 2003	
		US- ·	*		2 1 2000	
		US-		T	echnology Center 2600	
		US-				
		US-				
		US-		•		
		US-				
		US-				
		US-				
·		US-				
		US-		•	1	
		US-			,	
		US-				

FOREIGN PATENT DOCUMENTS						
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines,	 -6
Initials*	No.¹	Country Code ³ Number ⁴ Kind Code ⁵ (<i>if known</i>)	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear	LT
		WO 92/11516	07-09-1992			
		WO 01/18577 A1	03-15-2001		`	
		EP 0 703 679 A2	03-27-1996			
		FR 2 764 376 A1	12-11-1998			

Examiner	• • • • • • • • • • • • • • • • • • • •	Date	
Signature		Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

Signature

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2

	Complete if Known	
Application Number	09/986,479	<u> </u>
Filing Date	8 November 2001	
First Named Inventor	Matt PEARSON	
Art Unit	2633	
Examiner Name		
Attorney Docket Number	12222-US	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		K.R. POGUNTKE, et al., "High-performance InP reflection-grating wavelength multiplexer", Electronics Letters, March 1994, Vol. 30, No. 6, pages 512-513.	
		M. TESHIMA, et al., "Multiwavelength simultaneous monitoring circuit employing wavelength crossover properties of arrayed-waveguide grating", Electronics Letters, August 1995, Vol. 31, No. 18, pages 1595-1597.	_
		RECEIVE	<u> </u>
		DEC 1 1 2003	
·		Technology Center 2	3O
			•
Examiner		Date	_

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Considered

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.